

**CONTRACT REQUESTS FORM (CRF)**

CEC-94 (07/10)

CALIFORNIA ENERGY COMMISSION



☒ New Contract      ☐ Amendment to Existing Contract: \_\_\_\_\_ Amendment Number: \_\_\_\_\_

Division	Contract Manager:	MS-	Phone	CM Training Date
Energy Research and Development	Pedro Gomez		916-327-2316	6/26/2008

Contractor's Legal Name	Federal ID Number
The Regents of the University of California, - CIEE	94-3067788

Title of Project
Smart Grid Research Development and Demonstration Assessment

Term	Start Date	End Date	Amount
New/Original Contract	6/20/2011	8/15/2012	\$ 300,000

Line up the Amendment information as best as possible within the following table.

Amendment #	End Date (mm/dd/yy)	Amount

#### Business Meeting Information

Proposed Business Meeting Date	5/18/2011	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Pedro Gomez	Time Needed:	5 minutes

#### Agenda Item Subject and Description

Possible approval of Contract 500-10-023 for \$300,000 with The Regents of the University of California, California Institute for Energy and Environment, to monitor, assess, and determine the technological and interoperability issues encountered in smart grid projects funded by the United States Department of Energy under the American Recovery and Reinvestment Act of 2009 (ARRA). (PIER electricity funding) Contact: Pedro Gomez (10 minutes)

**Business Meeting approval is not required for the following types of contracts:** *Executive Director's signature is required in all cases.*

- ☐ Contracts less than \$10k (*Policy Committee's signature is also required*)
- ☐ Amendment for a no-cost time extension. Must be first extension, less than one year and original contract less than \$100k.
- ☐ Contracts less than \$25k for Expert Witness in Energy Facility licensing cases and amendments.

#### Purpose of Contract or Purpose of Amendment, if applicable

This proposed research will track the progress and assess the DOE ARRA Smart Grid Demonstration (SGD) Program (DE-FOA-0000036) and Smart Grid Investment Grant (SGIG) Program (DE-FOA-0000058) projects. The project will determine the technological and interoperability issues encountered in the smart grid projects. A few of the questions to be addressed include:

Are there projects that are related and are there projects that are redundant?

What are the potential benefits and costs of the new technologies being introduced or demonstrated?

What is the potential for work force development?

What are the barriers to the adoption potential of the new technologies?

What are the key issues with regard to standards, interoperability, security, and privacy?

Do the new technologies integrate with existing utility systems?

Are there benefits to California for additional research to fill the smart grid research gaps?

What projects that are being conducted outside of California are beneficial to California's energy and environmental policy goals? What are the best practices that could be learned and transferred from those projects?

Should additional research be proposed on projects that help California achieve its energy and environmental policy goals?

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**California Environmental Quality Act (CEQA) Compliance**

1. Is Contract considered a "Project" under CEQA?  
☐ Yes: skip to question 2 ☒ No: complete the following (PRC 21065 and 14 CCR 15378):  
 Explain why contract is not considered a "Project":  
 Contract will not a cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because it involves monitoring the progress of smart grid projects.
2. If contract is considered a "Project" under CEQA:  
☐ a) Contract **IS** exempt. (Draft NOE required)  
☐ Statutory Exemption. List PRC and/or CCR section number: \_\_\_\_\_  
☐ Categorical Exemption. List CCR section number: \_\_\_\_\_  
☐ Common Sense Exemption. 14 CCR 15061 (b) (3)  
 Explain reason why contract is exempt under the above section:  
☐ b) Contract **IS NOT** exempt. The Contract Manager needs to consult with the Energy Commission attorney assigned to their division and the Siting Office regarding a possible Initial Study.

**Budgets Information**

Contract Amount Funded		Breakdown by FY			Funding Sources			
Funding Source	Amount	FY	Amount	Approved?	Funding Source	FY	Budget List No.	Amount
ARFVTF	\$	10-11	\$300,000	Yes	PIER-E	09-10	501.027	\$300,000
ECAA	\$		\$					\$
State- ERPA	\$		\$					\$
Federal	\$		\$					\$
PIER - E	\$300,000		\$					\$
PIER - NG	\$		\$					\$
Reimbursement	\$		\$					\$
Other	\$		\$					\$
<b>TOTAL:</b>	<b>\$300,000</b>	<b>TOTAL:</b>	<b>\$300,000</b>		<b>TOTAL:</b>			<b>\$300,000</b>
Reimbursement Contract #:					Federal Agreement			

Contractor's Administrator/ Officer		Contractor's Project Manager	
Name:	Jyl Baldwin	Name:	Carl Blumstein
Address:	2150 Shattuck Avenue, Suite 313	Address:	2087 Addison St Fl 2
City, State, Zip:	Berkeley, CA 94704-5940	City, State, Zip:	Berkeley, CA 94704-1103
Phone/ Fax:	510-642-8110 / 510-642-8236	Phone/ Fax:	/
E-Mail:	jbaldwin@berkeley.edu	E-Mail:	blumstei@berkeley.edu

**Contractor Is**

- ☐ Private Company (including non-profits)  
☒ CA State Agency (including UC and CSU)  
☐ Government Entity (i.e. city, county, federal government, air/water/school district, joint power authorities, university from another state)

**Selection Process Used**

- ☐ Solicitation Select Solicitation Type \_\_\_\_\_ Solicitation #: \_\_\_\_\_  
☐ Non Competitive Bid (Attach CEC 96)  
☒ Exempt Interagency

**Civil Service Considerations**

- ☒ Not Applicable (Contract is with a CA State Entity or a membership/co-sponsorship)  
☐ Public Resources Code 25620, et seq., authorizes the Commission to contract for the subject work. (PIER)

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- ☐ The Services Contracted:
- ☐ are not available within civil service
  - ☐ cannot be performed satisfactorily by civil service employees
  - ☐ are of such a highly specialized or technical nature that the expert knowledge, expertise, and ability are not available through the civil service system
- ☐ The Services are of such an:
- ☐ urgent
  - ☐ temporary, or
  - ☐ occasional nature
- that the delay to implement under civil service would frustrate their very purpose.

**Justification:****Payment Method**

- ☒ A. Reimbursement in arrears based on:
- ☐ Itemized Monthly
  - ☒ Itemized Quarterly
  - ☐ Flat Rate
  - ☐ One-time
- ☐ B. Advanced Payment
- ☐ C. Other, explain:

**Retention**

1. Is contract subject to retention? ☒ No ☐ Yes
- If Yes, Do you plan to release retention prior to contract termination? ☐ No ☐ Yes

**Justification of Rates**

Rates charged in this contract by the University of California are U.C. published rates and the overhead rates are the negotiated rates with the Energy Commission

**Disabled Veteran Business Enterprise Program (DVBE)**

1. ☒ Not Applicable
2. ☐ Meets DVBE Requirements DVBE Amount:\$ \_\_\_\_\_ DVBE %: \_\_\_\_\_
- ☐ Contractor is Certified DVBE
  - ☐ Contractor is Subcontracting with a DVBE: \_\_\_\_\_
3. ☐ Requesting DVBE Exemption (attach CEC 95)

**Is Contractor a certified Small Business (SB), Micro Business (MB) or DVBE?**

If yes, check appropriate box: ☐ SB ☐ MB ☐ DVBE

**Is Contractor subcontracting any services?**

	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
If yes, give company name and identify if they are a Small Business (SB), Micro Business (MB) and/or DVBE:		
Lawrence Berkeley National Laboratory	<input checked="" type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
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	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE

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**Miscellaneous Contract Information**

- |                                                                                                                                                         |                                        |                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------|
| 1. Will there be Work Authorizations?                                                                                                                   | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes            |
| 2. Will there be IT expenditures?                                                                                                                       | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes            |
| 3. Is the Contractor providing confidential information?                                                                                                | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes            |
| 4. Is the contractor going to purchase equipment?                                                                                                       | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes            |
| 5. Check frequency of progress reports<br><input type="checkbox"/> Monthly <input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> _____ |                                        |                                         |
| 6. Will a final report be required?                                                                                                                     | <input type="checkbox"/> No            | <input checked="" type="checkbox"/> Yes |
| 7. Is the contract, with amendments, longer than a year? If yes, why?                                                                                   | <input type="checkbox"/> No            | <input checked="" type="checkbox"/> Yes |

The Department of General Services has agreed to give the Commission blanket authority to execute multi-year contracts to support the Commission's RD&D Programs.

**The following items should be attached to this CRF**

- |                                         |                                         |                                              |
|-----------------------------------------|-----------------------------------------|----------------------------------------------|
| 1. Scope of Work, Attach as Exhibit A.  | <input type="checkbox"/> N/A            | <input checked="" type="checkbox"/> Attached |
| 2. Budget Detail, Attach as Exhibit B.  | <input type="checkbox"/> N/A            | <input checked="" type="checkbox"/> Attached |
| 3. CEC 96, NCB Request                  | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached            |
| 4. CEC 30, Survey of Prior Work         | <input type="checkbox"/> N/A            | <input checked="" type="checkbox"/> Attached |
| 5. CEC 95, DVBE Exemption Request       | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached            |
| 6. Draft CEQA Notice of Exemption (NOE) | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached            |
| 7. Resumes                              | <input type="checkbox"/> N/A            | <input checked="" type="checkbox"/> Attached |

_____ Contract Manager	_____ Date	_____ Office Manager	_____ Date	_____ Deputy Director	_____ Date
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The following signatures are only required when contract approval is delegated to the Executive Office and not approved at a Business Meeting.  
See Business Meeting Information Section.

_____ Presiding Policy Committee	_____ Date	_____ Associate Policy Committee	_____ Date	_____ Executive Director	_____ Date
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